

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

ALTACORP CAPITAL INC. (n/k/a ATB Capital
Markets Inc.),

Plaintiff,

v.

FINANCIAL INDUSTRY REGULATORY
AUTHORITY, INC., FINRA REGULATION,
INC., F/K/A FINRA DISPUTE RESOLUTION,
INC., JOHN C.T. CLOGHESY,

Defendants.

Case No.: 1:20-cv-05221

CORPORATE DISCLOSURE STATEMENT

Pursuant to Federal Rule of Civil Procedure 7.1, and to enable District Judges and Magistrate Judges of the Court to evaluate possible disqualification or recusal, the undersigned counsel for Plaintiff AltaCorp Capital Inc. (n/k/a ATB Capital Markets Inc.) in the above-captioned matter certifies as follows:

Plaintiff AltaCorp Capital Inc. (n/k/a ATB Capital Markets Inc.) is a privately held financial services firm that was established, and is resident in, Alberta, Canada. AltaCorp Capital Inc. is a wholly-owned subsidiary of ATB Financial, which is a “crown” corporation owned by the Province of Alberta. There is no public corporation that holds ten percent or more of the stock ownership of AltaCorp Capital Inc. or its parent, ATB Financial.

Dated: July 8, 2020
New York, New York

Respectfully submitted,

TROUTMAN PEPPER HAMILTON
SANDERS LLP

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